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forms are available
at www.ims.gov



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

2005 LIBRARIANS FOR THE 21ST CENTURY

*Grant Application
and Guidelines*

Application Deadline:

December 15



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

In 2003, First Lady Laura Bush called on IMLS to help recruit “a new generation of librarians” through a funding initiative to address a looming shortage of professional librarians. In 2004, the program supported projects to recruit and educate 477 new master’s degree librarians, 62 doctoral students, and 92 pre-professional students, as well as a major national study on the future of librarians in the workforce.

I am pleased now to share with the library community the 2005 guidelines for the Librarians for the 21st Century program. The program continues its emphasis on recruiting and educating students at the master’s and doctoral levels while also supporting efforts to recruit future librarians from the ranks of promising junior high, high school and college students. In addition, it will help to update the skills of current librarians and library staff through continuing education programs, help graduate schools of library and information science build institutional capacity through curriculum development in key areas, and support critical research to evaluate program effectiveness and to develop strategies for recruiting and retaining librarians with the appropriate skills and characteristics to meet future users’ needs.

This program will help to ensure a new generation of highly skilled librarians who will enhance the educational role of libraries for learners of all ages, from early childhood through retirement, and in support of formal education, informal learning, and advanced research. We are excited by the opportunities this program provides to enhance library services in new ways while upholding the traditional values of library service, through development and support of a critically needed professional community.

Sincerely,

Robert S. Martin, Ph.D.
Director

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PART 1

**GENERAL
INFORMATION**

The Opportunity: To Recruit and Educate a New Generation of Librarians

The current shortage of school library media specialists, library school faculty, and librarians working in underserved communities underscores a looming crisis in librarianship, as fewer faculty are being prepared to educate new librarians and a greater number of professional positions are going unfilled. With a large percentage of library directors and other senior librarians expected to retire in the next twenty years, the shortage of professional librarians is likely to increase. In 2003 IMLS initiated this program to address this challenge to the library profession.

In 2005, the program will continue to support projects to recruit and educate the next generation of librarians, to develop faculty who will help in this endeavor, to develop library leaders, to attract high school and college students to consider careers in libraries, to conduct needed research on the demographics and needs of the profession, and to build institutional capacity in graduate schools of library and information science. This year, we are adding new priorities to expand recruitment initiatives to promising junior high students and to develop programs of continuing education and training in library and information science for librarians and library staff.

We invite all members of the library community to play an active role in ensuring that the profession is prepared to meet the challenges of the 21st century by recruiting a new generation of librarians and faculty, preparing library leaders, and strengthening our schools of library and information science.

Priorities

IMLS has established the following priorities for this program for Fiscal Year 2005:

PRIORITY 1 MASTER'S LEVEL PROGRAMS:

- **Educate the next generation of librarians.** In particular, increase the number of students enrolled in nationally accredited graduate library programs preparing for careers of service in libraries.

PRIORITY 2 DOCTORAL PROGRAMS:

- **Develop faculty to educate the next generation of library professionals.** In particular, increase the number of students enrolled in doctoral programs that will prepare faculty to teach master's students who will work in school, public and academic libraries.
- **Develop the next generation of library leaders.** In particular, increase the number of students enrolled in doctoral programs that will prepare them to assume positions as library managers and administrators.

PRIORITY 3 PRE-PROFESSIONAL PROGRAMS:

- **Recruit future librarians.** In particular, attract promising junior high, high school or college students to consider careers in librarianship through statewide or regional pilot projects employing recruitment strategies that are cost-effective and measurable.

PRIORITY 4 RESEARCH:

- **Provide the library community with information needed to support successful recruitment and education of the next generation of librarians.** In particular, through funded research, establish baseline data on professional demographics and job availability, and evaluate current programs in library education for their capacity to meet the identified needs

For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real world environment, but must be carried out through an investigative methodology. Results from research must be generalizable.

PRIORITY 5 PROGRAMS TO BUILD INSTITUTIONAL CAPACITY:

- **Develop or enhance curricula within graduate schools of library and information science.** In particular:
 - Develop or enhance courses or programs of study for library, museum, and archives professionals in the creation, management, preservation, presentation, and use of digital assets.
 - Develop or enhance courses or programs of study related to the development of critical thinking skills, such as organization leadership and research methods.
 - Broaden the library and information science curriculum by incorporating perspectives from other disciplines and fields of scholarship, such as public policy, ethics, American studies, urban planning, mass communication, and instructional design.

PRIORITY 6 CONTINUING EDUCATION:

- **Develop or enhance programs of continuing education and training in library and information science for librarians and library staff.**

Proposals may include requests for salaries as well as student support.

Developing a diverse workforce of professional librarians is a goal of this recruitment and education effort. The diversity of persons recruited to the library profession should reflect the diversity of the communities they will serve. Recruitment proposals should address ways to enhance participation in the library profession by members of traditionally underserved groups and communities.

DETERMINING THE APPROPRIATE FUNDING PROGRAM

Proposals for research to support the successful recruitment of new librarians should be submitted under this program. Proposals for *other* research in library and information science should be submitted under the Research and Demonstration category of the 2005 National Leadership Grants for Libraries (see guidelines on the IMLS Web site at www.imls.gov).

The same proposal may not be submitted to IMLS under more than one category or program. A proposal must designate the single priority under which it is to be considered.

**GENERAL
INFORMATION**

Eligibility

All applicants must:

- be either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code; and
- be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau;

and

- qualify as either
 1. A library or a parent organization, such as a school district, a municipality, a state agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries; elementary and secondary school libraries; college and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available, and private or special libraries that have been deemed eligible to participate in this program by the state in which the library is located.
 2. An academic or administrative unit, such as a graduate school of library and information science, which is a part of an institution of higher education through which it would make application.
 3. A library agency that is an official agency of a state or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction.
 4. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries.
 5. A library association that exists on a permanent basis, serves libraries or library professionals on a national, regional, state or local level, and engages in activities designed to advance the well being of libraries and the library profession.

IMLS recognizes the potential for valuable contributions to the overall goals of Librarians for the 21st Century Grants by public, non-profit, non-US, and for-profit entities that do not meet the eligibility requirements below. Although such entities may not serve as the official applicants, they are encouraged to participate in projects as partners. Federally-operated libraries and museums may not apply for Librarians for the 21st Century Grants, but may serve as non-essential partners to applicants if they do not receive IMLS grant funds as a result of the project. Contact IMLS before submitting a proposal involving a federal agency or federal collection. Other, non-Federal, entities may serve as partners and may receive IMLS grant funds as a result of the project. Consult with IMLS about any eligibility questions before submitting an application.

See page 1.6 for Special Conditions of Eligibility for Institutions of Higher Education.

SPECIAL CONDITIONS OF ELIGIBILITY FOR INSTITUTIONS OF HIGHER EDUCATION

In addition to all eligible applicants listed above, institutions of higher education as noted under Priorities 1, 2, and 5 are eligible to apply with these special conditions:

PRIORITY 1 MASTER'S LEVEL PROGRAMS:

- Graduate schools of library and information science or school library media certification programs are eligible to apply for funds to educate students at the master's level, if they apply in a partnership that includes one or more eligible library entities. Any of the eligible applicants in the partnership may serve as the lead applicant.

PRIORITY 2 DOCTORAL PROGRAMS:

- All graduate schools of library and information science offering programs of study at the doctoral level are eligible to apply for funding of doctoral level scholarships and fellowships, either individually or in a partnership.

PRIORITY 5 PROGRAMS TO BUILD INSTITUTIONAL CAPACITY:

- All graduate schools of library and information science are eligible to apply for funding to build institutional capacity, either individually or in partnership.

PARTNERSHIPS

IMLS encourages partnerships that are on a scale sufficient to address the broadest possible needs, including statewide and regional collaborations. An application may include one or more partners. The lead applicant in a partnership must be eligible to apply as an individual entity and all members of a partnership should be active contributors to and beneficiaries of project activities.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 3.10.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and for ensuring that the project is carried out by the partnership in accordance with applicable Federal laws, regulations, and requirements. The lead applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable Federal laws, regulations, and requirements.

Under Priority 1, graduate schools of library and information science may apply for funding for *master's level* scholarship or fellowship programs ONLY in partnership with another eligible library entity. IMLS will not require an applicant to match every student position for which funds are requested with a prospective employer. However, the proposal should explain its plan for graduate placement and for tracking employment information for students who complete the program. (See Service Expectations/Recruitment on page 1.9.)

Conditions of a Grant

APPLICATION DEADLINE

Applications must be postmarked or hand-delivered by December 15. IMLS recommends the use of commercial carriers such as UPS or FedEx when mailing applications. If the U.S. Postal Service is used, IMLS recommends certified or registered mail.

This is a postmark deadline. In the event that the deadline falls on a day U.S. Post Offices are closed, such as Sundays and Federal Holidays, applications postmarked the next business day will be accepted.

DURATION OF A GRANT

Project activities may be carried out for a period of up to 36 months.

PROJECT START DATE

Projects may begin no earlier than the last day of the month of the award announcement, and no later than December 31, 2005.

AMOUNT OF GRANT

Grants range from \$50,000 to \$1 million. IMLS will review and negotiate budgets as necessary. IMLS may award an amount less than that requested by an applicant.

COST SHARING

Applicants are expected to share project expenses. Applicants to this program, other than those requesting research funds, are **REQUIRED** to provide cost sharing of at least one-half of the total cost of the project, excluding funds for student support. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply. Cost-sharing requirements may be met through any combination of cash donations and in-kind contributions. *Federal funds may not be used to meet cost-sharing requirements.*

- IMLS does not require a match for research proposals. However, IMLS will consider cost-sharing contributions as a competitive factor when evaluating research proposals (see Evaluation Criteria, page 1.11).
- Cost sharing is not required for funds to be provided to students in the form of scholarships, fellowships, other stipends, and/or tuition.
- IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. *If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period.*
- The cost of student scholarships, fellowships, other stipends, and/or tuition may not be included in the amount on which indirect costs are requested.
- IMLS strongly encourages applicants to seek third-party donations of cash, equipment and services.
- IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project.

If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received.

Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers.

**SERVICE
EXPECTATIONS/
RECRUITMENT**

IMLS expects recipients of student support to return the investment of federal dollars by contributing to the library profession through employment in libraries or library education. Applicants requesting IMLS funds for student support should explain how they will incorporate this expectation into their programs and should include sample guidelines for potential students and agreements that will be required of successful recipients. In addition, IMLS encourages proposals that include offers of continued employment to scholarship or fellowship recipients upon program completion. Institutions that offer continued employment should explain how they will incorporate employment opportunities into their programs.

**USE OF
FUNDS**

Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply. Applicants should explain how any funds used for student support that are recovered for non-fulfillment during and after the grant period will be used to further the goals of the project.

Funds requested for student support may not be used to replace any funds for scholarships, fellowships, tuition or other stipends that would otherwise be offered to students enrolling in master's, doctoral, or pre-professional programs in library and information science.

**PROJECT
EVALUATION**

IMLS expects that most Librarians for the 21st Century grant activities will have measurable results, and IMLS expects grantees to evaluate and report on these results. IMLS supports and encourages the use of an evaluation tool called Outcomes Based Evaluation (OBE) when it is appropriate for the type of project to be conducted. Additional information about Outcomes Based Evaluation is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt_obc.htm or upon request from IMLS. IMLS provides a two-day course on OBE for recipients of Librarians for the 21st Century grants. Applicants are required to request travel funds to attend this training and other IMLS-designated meetings. Applicants should budget \$2,000 per year for this IMLS-designated travel, or \$4,000 per year for partnership projects.

**COPYRIGHT/
WORK
PRODUCTS**

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for Federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

**ANNOUNCEMENT
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all deliberations are concluded. IMLS will notify applicants of final decisions by mid-June 2005.

**PAYMENT,
ACCOUNTING
AND
REPORTING
PROCEDURES**

A Federal accounting office handles the payment of grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires each grant recipient to maintain a restricted account for funds received during the project period. A recipient does not need to maintain a separate bank account for IMLS grant funds; however, it must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients may be required to submit one or more interim performance reports; they are required to submit a final performance report and a final financial report. IMLS will establish reporting requirements at the time of award.

**FOR MORE
INFORMATION**

For questions, contact:

Elaina Norlin
(Priorities 1 and 3)
202/208-7091, enorlin@imls.gov

Stephanie Clark
(Priorities 2, 4, and 5)
202/606-5528, sclark@imls.gov

Susan Malbin
(Priority 6)
202/606-5389, smalbin@imls.gov

Application Review and Evaluation

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation. Similarly, incomplete applications are subject to rejection without evaluation. If IMLS rejects an application, the agency will notify the applicant of the decision by mail.

Institutions wishing to submit multiple proposals per deadline may do so. However, the same proposal may not be submitted to more than one category or program. A proposal must designate the single priority under which it is to be considered.

All eligible and complete applications will be competitively reviewed. All eligible applications will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and types of organizations identified in the proposed projects. Reviewers will be drawn from professionals in the field and from the areas of expertise required. The IMLS Director will make funding decisions based on the evaluations by reviewers, the stated priorities for funding and the overall goals of the program and of IMLS. Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines as supported by any appropriate attachments and support material.

Applicants should address all criteria in the Application Narrative.

APPLICATION EVALUATION CRITERIA

ASSESSMENT OF NEED AND INTENDED RESULTS

Evidence that the applicant identified an audience, performed a formal or informal assessment of those needs, is aware of similar projects completed by other institutions, and developed the project goals as the best solution to answer those needs.

Research proposals should frame the project in the context of current research and explain the need for the research findings.

IMPACT

- Degree to which the project has one or more of the following characteristics:
- The project will increase the number of qualified professionals for employment as librarians throughout the country;
 - The project is likely to contribute to results or products that will benefit multiple institutions and diverse constituencies;
 - The project reflects an understanding of library service needs in the communities served by the applicant(s) and addresses issues facing libraries of similar size and type;
 - The project reflects a vision of potential change in the field that could result from the project. Innovative approaches to these issues will be given high consideration.
 - For research, degree to which the project will support the purposes and priorities of this program.

DIVERSITY

Degree to which the project identifies the diversity of the communities within its scope and explains how the project will address the library service needs of those communities, particularly the needs of traditionally underserved groups and/or communities.

**PROJECT
METHODOLOGY
AND
EVALUATION
PLAN**

Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. Evidence that the scope, methodology, and design are appropriate for the project proposed. Evidence that the project uses appropriate standards or best practices. Evidence that the evaluation plan ties directly to project goals through measurable project outcomes, findings or products. Evidence that evaluation will provide reliable information on which to judge impact or base actions.

All proposals should explain how information on the demographic characteristics of the target populations, including persons to be recruited, educated, or employed in libraries or in library education, will be tracked over time.

For research, proposals should pose the research questions clearly, explain through the plan of work how the questions will be investigated, how data will be gathered and analyzed, and how results will be evaluated. The proposal should provide evidence that care has been taken to ensure that results will be valid, reliable, and generalizable.

**PROJECT
RESOURCES:
BUDGET;
PERSONNEL;
MANAGEMENT
PLAN**

Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment, and supplies. Evidence that the project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities. If the project includes partnerships, evidence that all partners are active contributors to and beneficiaries of the partnership activities. Extent to which the project budget is cost-effective, reasonable, and uses appropriate resources, including cost sharing as appropriate.

DISSEMINATION

Extent to which the results, products, models, findings, processes or benefits will be made transparent and accessible through effective communication channels in the library and information fields, and, where appropriate, other professional organizations and communities. Examples include, but are not limited to, conference presentations, publications, websites, and community outlets.

SUSTAINABILITY

Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, including web sites; development of institutional expertise and capacity; or, through continuing access to project findings or products. Extent to which project will lead to systemic change within the institution as well as within the library field.

PART 2

**PREPARING
AND
SENDING
THE
APPLICATION**

**SEE INFORMATION
ON ELECTRONIC
FORMS, PAGE 2.2**

How to Assemble the Application Package

An application requesting IMLS support for Librarians for the 21st Century should include the following materials organized in the order listed:

1. Face Sheet (3 pages)
2. Application Checklist
3. Abstract
4. Narrative
5. Schedule of Completion
6. Project Budget (Detailed, Summary, and Budget Justification)
7. Current, Federally Negotiated Rate for Indirect Costs, if applicable
8. Partnership Statement, if applicable
9. Proof of Non-Profit Status, if applicable
10. Applicant(s) Organizational Profile
11. Service Expectations/Recruitment documentation
12. Signed Assurances Form
13. Resume(s) for key project personnel
14. Attachments
15. Electronic version of items 1, 3, and 4 on 3.5 inch disk or a CD.

Please see page 2.8 for more information.

The applicant must submit one unstapled, loose-leafed original [with original signature(s) of authorizing official(s)] plus 10 copies of the entire application (1+10=11), plus two additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Applicants are required to submit an electronic copy of items 1, 3, and 4 on a 3.5 inch disk or a CD, formatted as a text file (.txt) or rich text file (.rtf) (formatting of the Face Sheet need not be replicated). No submitted application materials will be returned.

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and mailed. **Caution:** the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

FACE SHEET

The Face Sheet is provided as pages 3.3–3.5 in the Application Form section of this document. Use or replicate this form. The entire form is available as a fill-in form on the IMLS Web site.

DUNS

In order to improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants to federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or non-profit organization they may operate are exempt from this requirement.

TIN

The Taxpayer Identification Number is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal Tax Identification Number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If your organization does not have a DUNS or TIN number, your application will be rejected.

**APPLICATION
CHECKLIST**

The Checklist is provided as page 3.2 in the Application Forms section of this document. This page is available as an electronic fill-in form on the IMLS web site (see page 2.2). Use the Checklist to help you arrange the sections of the application in the correct order.

ABSTRACT

An Abstract of no more than one page, single spaced (600 word maximum) containing the following elements: 1) Project title; 2) Description of project goals and major activities; and 3) Anticipated results.

NARRATIVE

A Narrative of no more than 10 single-spaced, one-sided pages should address the Evaluation Criteria listed on pages 1.11–1.12. Identify where in the Narrative each criterion is discussed. Use headings, bold type, a list of references to page or section numbers, or some other means to lead reviewers to the discussion of each evaluation criterion. Follow the order listed in the criteria where possible. Do not exceed the 10-page limit. The Narrative should explain what need the project will meet and should provide sufficient information for reviewers to evaluate all criteria. Detailed budget discussions should be included in budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be attached as appendices.

The Narrative must:

- Conform to the space limits.
- Use 8.5 by 11-inch paper.
- Leave a margin of at least .5 inch on all sides.
- Not exceed the allotted space.
- Use a typeface that contains no more than six lines per vertical inch.
- Number all pages.

Use a typeface with standard spacing between letters and do not use a condensed typeface. It is essential that your Narrative be legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the application Abstract and Narrative using a word processing system. *Handwritten applications will not be accepted.*

SCHEDULE OF COMPLETION

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. A Sample Schedule of Completion is provided on page 3.9. The applicant need not follow the sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

BUDGET

The proposal must include a Detailed Budget, a Summary Budget and Budget Justification that explain the elements of the Detailed Budget. The budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other Federal agencies.

Only those costs attributable to achieving specific project activities should be included in the budget. Refer to requirements for Cost Sharing and Use of Funds under Conditions of a Grant (pages 1.8–1.10) in preparing the budget. These budget pages are available as electronic fill-in forms on the IMLS Web site (see page 2.2).

DETAILED BUDGET

A Detailed Budget should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed. A separate Detailed Budget must be submitted for each year of the project. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. For services to be outsourced, the applicant should, whenever possible, provide detailed bids and justification of how the proposed contractor was selected. The budget should clearly and specifically identify sources of contributions. For third-party contributions, applicants must indicate whether the contributions are assured or pending (see page 1.8). Consultant fees must identify costs by hourly rates or daily fees. The project budget must include \$2000 per year for travel to attend IMLS designated meetings. For partnership projects, include \$4000 per year per project for this purpose.

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under Services as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be done by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

For this program, IMLS requires applicants to contribute at least one-half of the total cost of the project, excluding funds for scholarships, fellowships, and stipends.

INDIRECT COSTS

Indirect costs are project costs that an institution incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect-cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the institution.

Institutions that do not have a federally negotiated indirect cost rate and do not wish to negotiate one may charge an administrative fee to the project of up to 15 percent. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to distorting costs such as equipment purchases or subcontracts over \$5,000. (Applicants that choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.) IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the project costs that will be supported by the applicant and may therefore be counted as part of the applicant’s match.

If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be cost shared by the applicant may be included in the budget only as a part of the applicant’s match. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued. Institutions must use a federally negotiated indirect cost rate appropriate to the type of project proposed. For example, a rate for research may only be used for research projects. State library agencies applying for Librarians for the 21st Century Grants are limited by statute to four percent for administrative costs.

An institution that is in the process of negotiating an indirect cost rate with a Federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the

IMLS Office of Grants Administration. If the award is issued before an indirect cost rate is negotiated, the amount of the award will be determined in part by the indirect cost rate that is used in the application budget, which will be considered a fixed rate for the duration of the grant unless the negotiated rate is lower. If this is the case, IMLS reserves the right to reduce the amount of the award accordingly.

An organization that will function as a partner in undertaking grant activities may charge the administrative fee of up to 15 percent mentioned in the above paragraph if it does not have a federally negotiated indirect cost rate that will be current at the time of award. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support). This page is available as an electronic fill-in form on the IMLS Web site (see page 2.2).

BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

A sample group Partnership Statement is provided on page 3.10. The Partnership Statement must confirm all conditions identified on pages 1.6–1.7 of these guidelines.

PARTNERSHIP STATEMENT (IF APPLICABLE)

PROOF OF NON- PROFIT STATUS (IF APPLICABLE)

If your organization is a private, non-profit organization (if you answered “Private Non-Profit” or “Other” on Line 32 of the Face Sheet) you must submit a copy of the IRS letter indicating your organization’s eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

**APPLICANT(S)
ORGANIZATIONAL
PROFILE**

The applicant and each official partner must provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

**SERVICE
EXPECTATIONS/
RECRUITMENT**

Applicants requesting IMLS funds for student support must explain how they will incorporate this expectation into their programs. Include sample guidelines for potential students and agreements that will be required of successful recipients. Institutions that offer continued employment must explain how they will incorporate employment opportunities into their programs.

**SIGNED
ASSURANCES
FORM**

Complete this section last. To be considered for a grant, the applicant's Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization's chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization.

The application is not complete unless it has been signed by the Authorizing Official.

RESUMES

Resumes or vitae of no more than two pages *each* for all key personnel (both staff and consultants) must be included.

ATTACHMENTS

Applicants should include documents that specifically relate to the justification for the project. IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal. Separately bound volumes or notebooks submitted as attachments will not be forwarded to reviewers.

How To Assemble the Application Package

Review your application package carefully before sending it to us. You must include *all* of the required items listed below and the proper number of copies. (Each item is described in detail in Part 3, Application Forms.) *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-5227.

ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.

Extra
Face Sheet
(copy 1)
(3 pages)

Extra
Face Sheet
(copy 2)
(3 pages)

STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:

Face Sheet
(3 pages)

Application
Checklist

Abstract

Narrative

Schedule of
Completion

Detailed
Budget by Year

Summary
Budget

Budget
Justification

Indirect Cost
Rate
(if applicable)

Partnership
Statement
(if applicable)

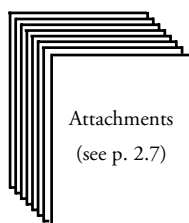
Proof of
Non-Profit
Status
(if applicable)

Organizational
Profile

Service
Expectations/
Recruitment
Documentation

Signed
Assurances
Form

Resume(s)
(2 pages
per person)



3.5 inch disk



OR

CD



TURN PAGE FOR FURTHER INSTRUCTIONS

STEP 3: MAKE TEN (10) IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:

Extra
Face Sheets
(2 Copies)

STEP 1

Original
Application

STEP 2

Ten (10)
copies of the
application

STEP 3

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

Sending the Application to IMLS

Mail or hand-deliver applications to:

Librarians for the 21st Century

Postmarked by December 15

Office of Library Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 802
Washington, DC 20506

**MAIL
DELIVERY**

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Note that support materials such as CDs, videos, or slides put through the irradiation process may suffer irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within one month of the deadline, please call IMLS to confirm receipt.

**HAND
DELIVERY**

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

**IMLS
ACKNOWLEDGEMENT**

Within 15 business days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

**PROOF OF
MAILING**

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U. S. Postal Service does not always postmark a package when it receives one. If using the U.S. Postal Service, ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing. IMLS recommends using a commercial carrier rather than the U.S. Postal Service.

PART 3
APPLICATION
FORMS

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order. This form is available as a fill-in form on the IMLS web site (see information on electronic forms, page 2.2).

- ☐ Face Sheet (3 pages)
- ☐ Application Checklist
- ☐ Abstract
- ☐ Narrative
- ☐ Schedule of Completion
- ☐ Project Budget
 - ☐ Detailed Budget
 - ☐ Summary Budget
 - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Partnership Statement, if applicable
- ☐ Proof of Non-Profit Status, if applicable
- ☐ Applicant(s) Organizational Profile
- ☐ Service Expectations/Recruitment documentation
- ☐ Assurances/Certification of Authorizing Official
- ☐ Resumes of Key Personnel (no longer than two pages per person)
- ☐ Attachments, as appropriate
 - ☐ Report from Planning Activities (e.g., Needs Assessments)
 - ☐ Products or Evaluations from Previously Completed or Ongoing Projects of a Similar Nature
 - ☐ Other _____
- ☐ 3.5 inch disk or CD

OMB No. 3137-0049

Face Sheet

1. Applicant Organization _____

2. Institutional Mailing Address _____

3. City _____

4. State _____

5. Zip Code _____

6. Web Address _____

7. DUNS Number _____

8. TIN Number _____

9. Name and Job Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr. _____

10. Business Phone of Project Director _____

11. Project Director Mailing Address _____

12. City _____

13. State _____

14. Zip Code _____

15. Fax Number of Project Director _____

16. E-mail Address of Project Director _____

17. Name and Title of Authorizing Official _____

18. Business Phone of Authorizing Official _____

19. Authorizing Official Mailing Address _____

20. City _____

21. State _____

22. Zip Code _____

23. E-mail Address of Authorizing Official _____

24. Sponsoring institution if applicable (e.g., municipality, state, or university)

☐ check if this entity will manage funds if an award is made. Name and address: _____25. Is the applicant organization university controlled? ☐ yes ☐ no

26. Priority addressed in this application (check only one):

- ☐ Priority 1: Master's Level Programs
- ☐ Priority 2: Doctoral Level Programs
- ☐ Priority 3: Pre-Professional Programs
- ☐ Priority 4: Research
- ☐ Priority 5: Programs to Build Institutional Capacity
- ☐ Priority 6: Continuing Education

27. Project Title _____

28. AMOUNT REQUESTED \$ _____

29. Amount of Matching Funds \$ _____

CONTINUE TO ITEM NO. 30

30. Grant Period (Starting Date) ____/____/____ — ____/____/____ (Ending Date)

31. In the space below, include names of any organizations that are official partners of the project.

32. Check governing control of applicant (select one) ☐ State ☐ Municipal ☐ County
☐ Private Non-Profit ☐ Tribal Government ☐ Other, please specify _____

33. Check Type of Organization (select one)

- ☐ Public Library
- ☐ Research Library/Archives
- ☐ School library or school district applying on behalf of a school library or libraries
- ☐ Museum library
- ☐ Library Association
- ☐ Academic Library
- ☐ Special Library
- ☐ Library Consortium
- ☐ State Library Agency
- ☐ Institutions of Higher Education other than listed below:
 - ☐ Graduate school of library and information science
 - ☐ Four Year College
 - ☐ Community College
- ☐ Other, please specify: _____

CONTINUE TO ITEM NO. 34

34. Institution Name _____

35. In the space below, summarize the project activities (200 word maximum).

36. Certification _____
Signature of Authorizing Official

Date

Project Budget Form

SECTION 1: DETAILED BUDGET

Year ☐1 ☐2 ☐3 - Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 2.4–2.6 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET CONTINUED

Year ☐1 ☐2 ☐3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____

STUDENT SUPPORT (PRIORITIES 1, 2, AND 3)

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL STUDENT SUPPORT \$		_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$ _____

**TOTAL DIRECT PROJECT COSTS
EXCLUDING STUDENT SUPPORT \$** _____

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 2.5.)

Applicant organization is using:

- ☐ A. an indirect cost rate which does not exceed 15% of modified total direct costs – may be listed only as cost sharing.
☐ B. Federally negotiated Indirect Cost Rate (see page 2.5).

Name of Federal Agency

Expiration Date of Agreement

C.	Rate base(s)	Modified Direct Costs		
_____	%	of \$ _____	=	\$ _____
_____	%	of \$ _____	=	\$ _____
_____	%	of \$ _____	=	\$ _____

	IMLS	APPLICANT	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____

Project Budget Form

SECTION 2: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 2.4–2.6 BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	COST SHARE	TOTAL
SALARIES & WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
STUDENT SUPPORT	_____	_____	_____
OTHER	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____
INDIRECT COSTS*	\$ _____	\$ _____	\$ _____

You may request indirect costs from IMLS only on the direct project costs requested from IMLS.

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH-MATCH \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____

(INSTITUTIONAL COST-SHARING), INCLUDING INDIRECT COSTS

TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS) \$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ _____

**FOR PROJECTS THAT WILL RECRUIT, EDUCATE OR TRAIN
A SELECTED AUDIENCE, TOTAL NUMBER OF STUDENTS** _____

COST PER STUDENT \$ _____
(DIVIDE AMOUNT REQUESTED FROM IMLS, INCLUDING DIRECT COSTS)

PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS _____ %
(MAY NOT EXCEED 50% EXCLUDING STUDENT SUPPORT – RESEARCH PROJECTS EXCEPTED, SEE COST SHARING ON PAGE 1.8)

Have you received or requested funds for any of these project activities from another Federal agency?
(Please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

This sample Schedule of Completion provides sample project activities, a sample timeline, and sample funds expenditure for each activity. You need not follow the sample format but must provide the same project information. List each major project activity discussed in the Narrative. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 3.3–3.5). Identify IMLS costs for each activity. The total must equal the total amount of direct project costs requested from IMLS.

Activity	Start Month	End Month	Cost
Data Requirements	Oct.	Nov.	\$11,500
Design and Pre-test	Oct.	Apr.	\$65,000
Conduct Survey	Jan.	Mar.	\$5,000
Data Analysis	Jan.	June	\$23,000
Web Site	Mar.	July	\$19,000
Teleconference	Mar.	July	\$1,000
Training Institute	Apr.	June	\$15,000
Evaluation	Feb.	June	\$1,500
Conferences	July	Aug.	\$7,000
Training Institute	June	Sept.	\$15,000
Final Report Dissemination	Aug.	Sept.	\$25,000

Sample Partnership Statement

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership applications is on pages 1.6–1.7. All partners must sign Partnership Statements. They do not need to all sign the same document.

1. Applicant Organization:

Other partner members (organizations):

2. Briefly list the activities that each organization has agreed to perform:

3. We, the undersigned institutions, agree to all of the following:

- We will carry out the activities described above and in the Application Narrative;
- We will use any funds we receive from IMLS in accordance with applicable Federal laws and regulations; and
- We assure that our facilities and programs comply with applicable Federal requirements.

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.

CERTIFICATION OF AUTHORIZING OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2005 IMLS application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (printed or typed)

IMLS Regulations are available upon request.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

**FINANCIAL,
ADMINISTRATIVE,
AND LEGAL
ACCOUNTABILITY**
I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**FEDERAL
DEBT STATUS**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT
AND
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
 - (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.
- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
 - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**NATIVE
AMERICAN
HUMAN
REMAINS
AND
ASSOCIATED
FUNERARY
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

**ENVIRONMENTAL
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and
- (f) conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506 or call (202) 606-8536.



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